

**Notice of Allowability**

Application No.

09/258,013

Examiner

Prieto Beatriz

Applicant(s)

SRIVASTAVA ET AL.

Art Unit

2142

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 10/06/05.
2. ☒ The allowed claim(s) is/are 1-9, 11-19, 22-31.
3. ☒ The drawings filed on 25 February 1999 are accepted by the Examiner.
4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some\* c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

5. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
6. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
- (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
- 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.
- (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
7. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

1. ☒ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☐ Information Disclosure Statements (PTO-1449 or PTO/SB/08), Paper No./Mail Date \_\_\_\_\_
4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
5. ☐ Notice of Informal Patent Application (PTO-152)
6. ☐ Interview Summary (PTO-413), Paper No./Mail Date \_\_\_\_\_
7. ☒ Examiner's Amendment/Comment
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other \_\_\_\_\_

*Beatriz Prieto*  
Pat. Examiner

***Examiner's Amendment***

1. An Examiner's Amendment to the record appears below. Should the changes or additions be unacceptable to Applicant, an amendment may be filed as provided by 37 C.F.R. § 1.312. To ensure consideration of such an amendment, it **MUST** be submitted no later than the payment of the Issue Fee.

***Title***

2. Pursuant to M.P.E.P. §606.01, this title has respectfully been changed to read as follows:

**-- DETERMINING AND REGISTERING PARTICIPANTS IN A DISTRIBUTED TRANSACTION IN RESPONSE TO COMMENCING PARTICIPATION IN SAID DISTRIBUTED TRANSACTION --**

***Reason for allowance***

3. The following is the Examiner's statement of Reason for Allowance. This statement is not intended to necessarily state all the reasons for allowance or all the details why claims are allowed, nor it specifically or impliedly state that all the reasons for allowance are set forth. The primary, or important reason for allowance of the claims is the inclusion of the limitation(s) in all the claims, which is not found in the prior art references.

In this case, the prior art of record teaches substantial features of the invention, such as a distributed transaction processing system for executing transaction processing including: user's request (i.e. clients) for accessing information stored in a databases (i.e. database servers); registering participant participating in a distributed transaction is a wait-for graph WFG management table; the table ("name service") shows wait-for relation as to the database processes hardware resources and a plurality of transactions, the table contains the address of a each node that corresponding to each executing transaction, and a transaction identifier; the registration to said table occurs upon detecting a deadlock, specifically, by a lock deadlock detector upon a deadlock detection registers the wait-for relation in the table; however the prior art of record fails to teach or suggest individually or in combination, where the registration occurs particularly "upon commencing participation", as set forth on independent claims 1, 11, 22 and 27.

According to the invention, when a distributed transaction is initiated, the coordinator process causes the spawning of slave process (i.e. to participate in a distributed transaction), the coordinator process (i.e. in response to spawning of participants) transmits to name service a publication request (i.e.

Art Unit: 2142

registering of participants by a coordinator processor) (as argued on page 8 of brief pointing to the disclosure on page 10, lines 14-21 and page 7, lines 21-25).

6. Double patent analysis has been performed with respect to issued patents having common relationship of inventorship and/or ownership with respect to the above-allowed claims, none are found to warrant a double patenting rejection or the applied references fail to teach the above-mentioned limitation.

7. All rejections presented in final office action mailed 5/03/04 are withdrawn on the basis that the prior art fails to teach the above-mentioned limitation.

8. Any comments Applicants considers necessary must be submitted no later than the payment of the Issue Fee and to avoid processing delays, should preferably accompany the Issue Fees. Such submission should be clearly labeled "Comments on Statement of Reasons for Allowance". In event of any post-allowance papers (e.g. IDS, 312 amendment, petition, etc.), Applicant is exhorted to mail papers to the Production Control branch in Publications or faxed to post-allowance papers correspondence branch at (703) 308-5864 to expedite issuing process or call PUB's Customer Service if any questions at (703) 305-8497.

Citation of Pertinent Art:

9. The following prior art made of record and not relied upon are considered pertinent to applicant's disclosure. Copies of Non-patent documents cited will be provided as set forth in MPEP§ 707.05(a):

U.S. 5,291,594 (03-1994)

Sekiguchi et. al. teach in a distributed database system, comprising: a plurality of sites, each having a computer and a database; a server site for processing request, a series of these processes is called a "transaction". Further including, a transaction execution means for executing data processing of the transaction generated by the transaction generation means a list creation means for creating a list of sites, which must execute data processing in response to the transaction generated by the transaction generation means, the sites other than the transaction generation site being participation sites wherein at

least one of said participation sites must forward a processing request to another one of said participation sites for the completion of the transaction, and for sending the list to all participation sites through the communication management means wherein said list identifies said transaction generation site. Particularly, when the transaction generation section 10 generates a transaction, the site list creation section 14 enumerates all sites, which must participate in executing the transaction, and creates a list of these sites. The site list creation section 14 sends the list and transaction request to all participation sites, which are enumerated in the list through the communication management section 24 (Figure 5, claim 5).

U.S. 5,799,305 (08-1998)

Bortvedt et. al. teachings pertain distributed database transactions, and protocols in which a coordinator regularly exchanges messages with participants, wherein a maintained a transaction log comprises is a list of log records containing information about transaction including data concerning the beginning of each transaction, the old and new values of any record modified by the transaction, and whether the transaction was committed or aborted, wherein every computer which is involved in the transaction, by executing an operation is called a "participant." When the participants commits to a transaction, the fact is recorded.

U.S. 6,438,582 (08-2002)

Hsiao et. al. teachings pertain to distributed data processing systems and processing transactions; wherein prior a transaction that has been started on an originating, or coordinating, node will be sent to associated remote nodes, referred to as participant nodes. After the transaction has started at the coordinating node, C, a remote node, R, will be added to the coordinating node's participant node list when a request is sent to node R on behalf of the transaction, the participant list, is continually updated. When the transaction commits, only the nodes in the participant node list for the current transaction need to be informed of the transaction outcome and need to take part in the processing of that outcome. After a transaction has started on node C, and as soon as a request is sent to a remote node R on behalf of the transaction, that remote node is added to the transaction's participant node list maintained at node C. At node R, if a request is sent to a remote node, N, on behalf of the transaction, node N is placed on a transaction participant node list, which is maintained at node R.

Art Unit: 2142

10. Any inquiry concerning this communication or earlier communications from the examiner should be directed to B. Prieto whose telephone number is (571) 272-3902. The Examiner can normally be reached on Monday-Friday from 6:30 to 4:00 p.m. If attempts to reach the examiner by telephone are unsuccessful, the Examiner's Supervisor, Jack B. Harvey can be reached on (571) 272-3896. The fax phone number for the organization where this application or proceeding is assigned is (703) 872-9306. Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 305-3800/4700.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system, status information for published application may be obtained from either Private or Public PAIR, for unpublished application Private PAIR only (see <http://pair-direct.uspto.gov> or the Electronic Business Center at 866-217-9197 (toll-free).

Any response to this action should be mailed to:


**Box Issue Fee**  
Commissioner of Patents and Trademarks  
Washington, D.C. 20231

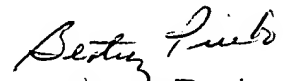
or faxed to:

(703) 746-4000, (Issue Fee and any Publication fee/payments)

Or:

(703) 305-8283 (for checking on receipt of payment w/Publication)

  
B. Prieto  
Patent Examiner  
January 21, 2005

  
Berting Prieto  
Patent Examiner